

**BY ORDER OF THE COMMANDER
AIR FORCE SPACE COMMAND**



**AIR FORCE SPACE COMMAND INSPECTION
CHECKLIST 31-0015**

1 OCTOBER 1999

Security

PERSONNEL SECURITY (WING)

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This Checklist reflects Command requirements for the Personnel Security Section to prepare for and conduct internal reviews.

SUMMARY OF REVISIONS

This checklist has been revised to update references and add commander and supervisor responsibilities.

1. References have been provided for each item. Critical items have been kept to a minimum and are related to public law, safety, security, fiscal responsibility, and/or mission accomplishment. While compliance with non-critical items is not rated, these items help gauge the effectiveness/efficiency of the function.
2. This publication establishes a baseline checklist. The checklist will also be used by the Command IG during applicable assessments. Use the checklist at **Attachment 1** as a guide only. Add to or modify each area as needed, to ensure an effective and thorough review of the unit Personnel Security Program.

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Director of Security Forces

Attachment 1

PERSONNEL SECURITY (WING)

Table A1.1. Checklist.

MISSION STATEMENT: To ensure all personnel granted access to classified information or assignment to sensitive duties are trustworthy, loyal, and reliable through inspection, oversight, and training and effective management of the Air Force Personnel Security Program. NOTE: All references are from AFI 31-501, May 1994, unless otherwise noted.			
SECTION 1: GENERAL REQUIREMENTS			
1.1. CRITICAL ITEMS:	YES	NO	N/A
1.1.1. Are security clearances only requested for people requiring access to classified information in the performance of official duties [i.e., request verified against the Automated Security Clearance Approval System (AS-CAS)]? (DoD 5200.2-R and AFI 31-501, Chapter 2 & 3)			
1.1.2. Are Personnel Security Investigation (PSI) packages properly prepared and forwarded to the Defense Investigative Service (DSS) or Office of Personnel Management (OPM) in a timely manner? (para 2 and 5)			
1.2. NON-CRITICAL ITEMS:	YES	NO	N/A
1.2.1. Does the authorized requester ensure the appointment of each civilian employee is subject to an investigation depending on the sensitivity of his or her position, except for reappointment when the break in employment is less than 24 months? (para 3.1.)			
1.2.2. Does the SSA ensure commanders or staff agency chiefs (or designee) with position sensitivity authority prepare a waiver of pre-employment investigative requirements when he or she determines an emergency exists and that a delay in appointment would adversely affect national security? (para 3.1.1.) NOTE: The signed determination is filed by the Civilian Personnel Flight (CPF) in the official personnel file.			
1.2.3. Does the SSA brief commanders or staff agency chiefs to ensure procedures for pre-appointment to sensitive positions preclude an uncleared person from having access to classified information? (para 3.1.2.)			
1.2.4. Does the authorized requester follow-up telephone or message requests with a copy of the pre-appointment investigation waiver within 48 hours to the 497 IG/INS? (para 3.1.2.)			
1.2.5. Does the SSA ensure organizational commanders identified the need and justified to the installation commander requests for NACs on contractor employees requiring unescorted entry to restricted areas? (para 3.5.)			

1.2.6. When required for mission accomplishment, is one-time access to a classification level higher than clearance eligibility held by an individual authorized in writing by a flag or general officer, a court martial convening authority or equivalent senior executive service member? (para 3.3.5.)			
1.2.7. Does the installation commander approve requests upon recommendation by the SSA? (para 3.5.)			
1.2.8. Does the installation commander approve all denials or withdrawals of unescorted entry for contractor employees? (para 3.5.)			
1.2.9. Are decisions to deny or withdraw fully supported by the facts? (para 3.5.)			
1.2.10. Are individuals informed of the allegations against them (unless precluded from security considerations) and given the opportunity to appear before the commander? (para 3.5.)			
1.2.11. Are appeals of denials or withdrawals forwarded to the MAJCOM commander or designee? (para 3.5.)			
1.2.12. When security clearance investigations previously conducted on civilian employees are suitable and accepted for granting immediate access to classified information, does the authorized requester ensure the following actions are completed? (para 4.1. and DOD 5200.2-R, chapter IV)			
1.2.12.1. The individual is employed in a sensitive position with the Air Force and that no reason exists why the investigation or the clearance should not be accepted? (para 4.1.)			
1.2.12.2. The CPF verifies prior federal employment was continuous with no single break longer than 24 months			
1.2.12.3. Is a tracer submitted by the CPF for a clearance certification from the 497IG/INS.			
1.2.12.4. The clearance certification is documented with a dated memorandum for record (MFR), a copy is forwarded to the subject's commander or staff agency chief; and all copies of the MFR are destroyed when the ASCAS shows the clearance eligibility.			
1.2.12.5. Interim access is authorized when actions are completed			
SECTION 2: UNFAVORABLE ADMINISTRATIVE ACTIONS			
2.1. CRITICAL ITEM:	YES	NO	N/A
2.1.1. Do unit commanders or staff agency chiefs establish Special Information Files (SIF) when unfavorable information develops locally, which directly impacts an individual's clearance eligibility? (para 8.1.1.)			

SECTION 3: REQUESTING PERSONNEL SECURITY INVESTIGATIONS			
3.1. NON-CRITICAL ITEMS:	YES	NO	N/A
3.1.1. Has the SSA designated authorized requesters to initiate PSIs to DSS within their organization? (para 5.1.)			
3.1.2. Has the request for authorized requester codes been submitted through channels to HQ AFSPC/SFOB? (para 5.1.)			
3.1.3. Is the authorized requester maintaining a suspense copy of PSIs and all other paperwork until the investigation is completed? (para 5.1.)			
3.1.4. Is the authorized requester forwarding the suspense copy of the PSI to the gaining base authorized requester when a permanent change of station (PCS) occurs? (para 5.1.)			
3.1.5. Does the authorized requester forward the completed PSI package to the 497 IG/INS when DSS cannot investigate significant periods of a person's life due to the political situation of one or more countries in which the individual resided, or for other reasons? (para 5.1.)			
3.1.6. Do individuals completing ESPQ, SF Forms 86 and 86a provide specific circumstances including date, location, and duration that would make them unavailable for a subject interview within 30 to 180 calendar days of the date the form is mailed? (para 5.1.4.)			
3.1.7. Is an AF Forms 2583, Request for Personnel Security Action , used to document Local Files Checks (LFC)? (para 5.2.)			
3.1.8. Are briefings for access to Special Access Program (SAP) information recorded on an AF Form 2583 when the governing program directive does not prescribe other procedures? (para 5.2.3.)			
SECTION 4: ISSUING CLEARANCE AND GRANTING ACCESS			
4.1. NON-CRITICAL ITEMS:	YES	NO	N/A
4.1.1. Do authorized requesters submit requests for interim Secret clearances to the 497 IG/INS? (para 7.3.2.)			
4.1.2. Is a copy of the memo signed by the unit commander or staff agency chief that waives the pre-appointment investigative requirements included with the request for interim Secret clearance submitted to the 497 IG/INS? (para 7.3.2.)			
4.1.3. In emergencies, when the 497 IG/INS grants interim Secret clearances by telephone, does the authorized requester use an MFR to document approval until the ASCAS shows a final security clearance eligibility? (para 7.3.4.)			
4.1.4. Does the SSA ensure commanders and staff agency chiefs manage and control security clearances within their activity? (para 7.4.)			

4.1.5. Is the level of security clearance based upon the access requirements documented on the UMD, DCPDS, and level of clearance eligibility determined by the 497 IG/INS? (para 7.4.)			
4.1.6. If the duties of an individual require a change to the UMD, does the commander or staff agency chief submit an authorization change request to the local management engineering team through the SSA? (para 7.4.1.)			
4.1.7. A NACI on a civilian in a non-sensitive position containing potentially disqualifying information is forwarded to the servicing CPF for an employment suitability determination. If the individual is deemed suitable for employment and there is no other unfavorable information or only minor unfavorable information in the file, does CPF file the certificate of investigation in the subject's official personnel folder? (para 7.5.2.)			
4.1.8. In these cases, is the ASCAS roster annotated as Secret security clearance eligibility? (paras 7.5.1. and 7.5.2.)			
4.1.9. Is the ASCAS roster coded "Restricted" for people whose case files contain serious unfavorable information which could have resulted in denial of security clearance eligibility? (This reflects a NACI has been completed but contains unresolved allegations.) (para 7.5.3.)			
4.1.10. Are case files, CPF determination, and certificate of investigation for those employees not retained returned to the 497 IG/INS? (para 7.5.4.)			
4.1.11. If selected for transfer or promotion to a sensitive position, does the commander, staff agency chief or, in conjunction with the servicing CPF, process the request for security clearance eligibility prior to assignment? (para 7.5.5.)			
4.1.12. In situations where no clearance eligibility data is available at the unit or 497 IG/INS; has valid clearance eligibility information on file, is a record of the call used (optional) as evidence of valid clearance data pending update of the ASCAS? (para 7.7.7.1.)			
4.1.13. Does the authorized requester's MFR contain all required information? (para 7.7.1.)			
4.1.14. Does the authorized requester forward a copy of the MFR to the individual's commander or staff agency chief? (para 7.7.2.)			
4.1.15. Does the authorized requester and unit keep the MFR until the ASCAS roster shows a final security clearance eligibility? (para 7.7.3.)			
SECTION 5: SECURITY INFORMATION FILE (SIF) ESTABLISHMENT			
5.1. NON-CRITICAL ITEM:	YES	NO	N/A
5.1.1. Does the SSA ensure SIFs are not established for the reasons identified in para 8.2.? (para 8.2.)			

SECTION 6: ACCESS SUSPENSION			
6.1. NON-CRITICAL ITEMS:	YES	NO	N/A
6.1.1. Does the SSA ensure commanders suspend (optional) an individual's access to classified information and unescorted entry to restricted areas when a SIF is established? (para 8.3.)			
6.1.2. Do commanders, supervisors, or security people refer allegations indicating possible criminal conduct, including those arising during a PSI, to AFOSI or to the appropriate criminal investigative agency? (para 8.4.)			
6.1.3. If after all the facts have been considered and the unit commander or staff agency chief and chief of the SSA disagree on establishment and processing of an SIF, does the installation commander make a final determination? (para 8.4.)			
6.1.4. Are SIFs processed per the Air Force supplement to the Federal Personnel Manual when it pertains to civilian employees in or being considered for non-critical sensitive, critical sensitive, or special sensitive position? (para 8.4.1.)			
6.1.5. Does the SSA ensure unit commanders or staff agency chiefs provide a recommendation on whether to grant, deny or revoke the person's security clearance eligibility? <i>NOTE:</i> The documented facts must fully support the recommendation. (para 8.4.2.)			
6.1.6. Is the completed SIF forwarded to the 497 IG/INS for a final determination? (para 8.4.3.)			
SECTION 7: SIF EVALUATIONS AND MAINTENANCE			
7.1. NON-CRITICAL ITEMS:	YES	NO	N/A
7.1.1. Are requests for evaluation of the SIF from other agencies (listed at para 8.5.) when the issue involved indicates coordination is appropriate? (para 8.5.)			
7.1.2. Is the SSA maintaining the SIF for unit commanders? (para 8.6.)			
7.1.3. When a change of assignment occurs, is the SIF forwarded to the gaining SSA by the most expeditious means available? (para 8.6.)			
7.1.4. Is an information copy of the transmittal memo/message forwarded to 497 IG/INS? (para 8.6.)			

7.1.5. Is the 497 IG/INS notified when: (para 8.7.)			
7.1.5.1. Unfavorable information results in a discharge, retirement, or separation?			
7.1.5.2. Are copies of appropriate discharge or separation orders forwarded to 497 IG/INS? (para 8.7.)			
7.1.5.3. An adverse discharge is overturned and the individual returns to active duty?			
7.1.5.4. Anticipated completion of an SIF will require more than 12 months? (para 8.7.)			
7.1.5.5. An SIF has remained open for 180 days and every 180 days thereafter?			
7.1.5.6. Is a brief summary of actions taken or contemplated provided? (para 8.7.)			
7.1.6. Is only information and documents relating to the processing of the SIF retained in the file? (para 8.8.)			
7.1.7. Does the SIF contain (as applicable) the documents identified in para 8.8.? (para 8.8.)			
7.1.8. Does the chief of SSA request an AFOSI investigation when either the unfavorable information involves alleged activities that fall under security standards criteria in DoD 5200.2-R, Chapter 2, Section 2, or allegations indicate possible criminal conduct, including allegations rising during the course of a PSI? (para 8.9.)			
SECTION 8: REINSTATEMENT			
8.1. NON-CRITICAL ITEM	YES	NO	N/A
8.1.1. Are requests for reinstatement of security clearance eligibility sent to the Central Adjudication Facility? (para 8.12.)			
SECTION 9. INVESTIGATIONS REQUIRED FOR SIF RESOLUTION			
9.1. NON-CRITICAL ITEMS:	YES	NO	N/A
9.1.1. Does the individual's commander include a recommendation specifying how the individual's behavior has changed? (para 8.12.)			
9.1.2. Does the commander provide appropriate documentation to support the request? (para 8.12.)			

9.1.3. Are requests for reinstatement of OPM Federal civilian employees processed per Air Force supplement to the Federal Personnel Manual? (para 8.12.1.)			
9.1.4. Does the SSA brief unit commanders, or staff agency chiefs that they must obtain permission to proceed, when contemplating disciplinary or administrative action against military members or civilian employees that could lead to a discharge when the member holds a special access, e.g., SIOP-ESI, SCI, R&D SAPs, AFOSI SAP, and other programs? (para 8.14.)			
9.1.5. In these cases, does the SSA ensure commanders send a written request to the appropriate SAP office for permission to proceed? (See para 8.14 for additional details.) (para 8.14.)			
SECTION 10: EVALUATING CONTINUED SECURITY CLEARANCE ELIGIBILITY			
10.1. NON-CRITICAL ITEMS:	YES	NO	N/A
10.1.1. Does indoctrination training advise supervisory personnel of their responsibility for continuing observation of subordinates and to immediately reporting to the commander or staff agency chief when such conduct or conditions listed in the criteria for application of security standards come to their attention? (para 9.1.)			
SECTION 11: SECURITY INVESTIGATION FORMS			
11.1. NON-CRITICAL ITEM	YES	NO	N/A
11.1.1. Are the correct forms completed for the type of security investigation required? (Chapter 2 and Table A2.1.)			